



Form U10

Instructions For Completion and Submission by Check or Money Order

1. Complete Items 1-4 in full. Identify the examination(s) being requested under Item 4. Failure to complete all items will cause the application to be returned unprocessed.
2. Attach a single check or money order made payable to NASD for the total amount of examination fees due. Print the candidate's and firm's name on the face of the check.
NOTE: Examination fees are NON-REFUNDABLE.
3. Send the fully completed Form U10 together with your check or money order for the total examination fees due to:
NASD - Field Support
P.O. Box 5054
Philadelphia, PA 19175-5054.

For overnight deliveries, please send to:

NASD - Field Support
W5054
701 Market Street 199-3490
Philadelphia, PA 19106-1532

4. Form U10 will not be processed until the necessary authorization is provided directly to NASD by the appropriate regulatory authority. If the required authorization is not received from the appropriate regulatory authority within thirty (30) days of the date of receipt, Form U10 will be returned unprocessed.
5. Once the U10 registration has been approved and processed, a Notice of Enrollment will be emailed to both the firm contact named in Item 1 and the candidate listed in Item 2.
6. Candidates must make the necessary appointment and take the examination before the expiration date as shown on the Notice of Enrollment or the enrollment expires and the fee is forfeited. Enrollments are valid for 120 calendar days only. Fees and enrollments are not refundable and cannot be transferred to either another individual or an examination for the same individual. If the candidate late cancels (see below) or does not appear for their scheduled appointment, the examination fee is forfeited and a new Form U10 must be submitted.
7. Persons without valid enrollments will not be permitted to schedule or take an examination. To re-enroll for a failed examination, forfeited enrollment, or an expired enrollment, re-submit the Form U10 with the appropriate examination fee(s).
8. NASD assumes no responsibility for providing copies of official results to regulatory authorities other than the sponsoring SRO.

Scheduling/Examination Administration Information

Examination and training sessions are provided at authorized NASD testing centers throughout the United States. Complete information concerning examination administration, test center locations and admittance requirements are located at

http://www.nasd.com/stellent/idcplg?IdcService=SS_GET_PAGE&nodeId=759.

Appointments can be scheduled through either Pearson VUE or Prometric:

- Pearson Professional Centers: contact Pearson VUE's National Registration Center at **1-866-396-6273 (toll free)**, or **1-952-681-3873 (toll number)** or go to www.pearsonvue.com/nasd for Web-based scheduling.
- Prometric Testing Centers: contact Prometric's National Call Center at **1-800-578-6273 (toll free)** or go to www.prometric.com/nasd for Web-based scheduling.

If, for any reason, a candidate cannot make a scheduled appointment, the appointment must be cancelled. Responsibility rests with the candidate or firm to make and/or cancel appointments in a timely manner. The examination enrollment and fee will be forfeited if an appointment is not cancelled in accordance with the required notification criteria, the candidate fails to appear for an appointment or arrives at the test center so late that his/her session cannot begin without disrupting the center schedule for that date. If a holiday occurs during the normal cancellation period, this schedule adjusts to define "timely cancellation" as one day earlier than stated below. Cancellation will be considered timely if effected according to the following schedule:

If appointment is scheduled for:	Cancellation must be effected no later than noon (local time) on:
Monday	Thursday of the preceding week
Tuesday	Friday of the preceding week
Wednesday	Monday of the same week
Thursday	Tuesday of the same week
Friday	Wednesday of the same week
Saturday/Sunday	Thursday of the same week

Eligibility of Candidates

Form U10, the Uniform Examination Request for non-NASD candidates, is designed for use by individuals not employed or associated with NASD member firms who, as part of a registration process, have been specifically required by another regulatory authority to qualify by examination. (Persons seeking NASD registration must be employed by or associated with an NASD member firm. All examination scheduling for persons associated with NASD member firms or firms applying for NASD membership must be made by the firm on a Form U4.)

Responsibility rests with the candidates and their firms to: 1) ascertain directly from the appropriate regulatory authority specific advice as to which qualifying examination is required; 2) provide the necessary registration application to that agency in accordance with their requirements; and 3) determine what that regulator requires of them before the agency will provide NASD with the necessary authorization to proceed with Form U10 processing and test scheduling.

NASD assumes no responsibility for contacting another regulatory agency with respect to provision of the required authorization or the candidate's choice of examination.

Form U10

Uniform Examination Request for Non-NASD Candidates

1. Candidate Information

Legal Name _____
Social Security Number _____
Street Address _____
City _____ State _____ Zip _____
Email Address _____

2. Firm Information

Firm Name _____
Firm Address _____
City _____ State _____ Zip _____
Contact Name _____ Telephone Number _____
Email Address _____

3. Regulator

Identify the state, self-regulatory, or bank regulatory agency with which the firm is registered and is requiring the qualification/registration of the candidate:

- ☐ American Stock Exchange
- ☐ Chicago Board Options Exchange
- ☐ Comptroller of the Currency
- ☐ Federal Deposit Insurance Corporation
- ☐ Federal Reserve Board
- ☐ Midwest Stock Exchange
- ☐ National Futures Association
- ☐ New York Stock Exchange
- ☐ Pacific Stock Exchange
- ☐ Philadelphia Stock Exchange
- ☐ State of (identify the State and the regulatory agency)
- ☐ OTHER (indicate the full name of the regulatory authority)

4. Examinations

Check the appropriate box(es) for each examination to request registration. The applicable examination fee follows each test.

- A. The following examination requests will be approved and administered by NASD only when the required authorization is received directly from the respective State Administrator or self-regulatory organization identified under Item 3. These examinations are available only to individuals who have made application for registration with a state regulator or SRO and are specifically required by the regulator to qualify by one of these examinations.

❑ Series 4 Registered Options Principal	\$ 80
❑ Series 5 Interest Rate Options	\$ 60
❑ Series 6 Investment Company and Variable Contracts Products Representative	\$ 70
❑ Series 7 General Securities Representative	\$225
❑ Series 9 General Securities Sales Supervisor-Options Module	\$ 60
❑ Series 10 General Securities Sales Supervisor-General Module	\$ 95
❑ Series 11 Assistant Representative-Order Processing	\$ 60
❑ Series 12 Branch Manager	\$ 80
❑ Series 15 Foreign Currency Options	\$ 60
❑ Series 22 Direct Participation Programs Representative	\$ 70
❑ Series 23 General Securities Principal Qualification Examination Sales Supervisor Module	\$ 75
❑ Series 24 General Securities Principal	\$ 85
❑ Series 26 Investment Company and Variable Contracts Products Principal	\$ 75
❑ Series 27 Financial and Operations Principal	\$ 85
❑ Series 28 Introducing Broker/Dealer Financial and Operations Principal	\$ 75
❑ Series 39 Direct Participation Programs Principal	\$ 75
❑ Series 42 Registered Options Representative	\$ 60
❑ Series 55 Limited Representative Equity Trader	\$ 80
❑ Series 62 Corporate Securities Representative	\$ 70
❑ Series 72 Government Securities Representative	\$ 80
❑ Series 86 Research Analyst Part I – Analysis Module	\$150
❑ Series 87 Research Analyst Part II – Regulatory Module	\$105

B. The following examination requests will be approved only for individuals associated with municipal securities dealers registered with the bank regulatory agency identified under Item 3.

❑ Series 51 Municipal Fund Securities Principal	\$ 75
❑ Series 52 Municipal Securities Representative	\$ 80
❑ Series 53 Municipal Securities Principal	\$ 80

C. The following examinations do not require authorization from a State Administrator or self-regulatory organization.

❑ Series 3 National Commodities Futures	\$ 90
❑ Series 30 Branch Managers Examination-Futures	\$ 60
❑ Series 31 Futures Managed Funds Examination	\$ 60
❑ Series 32 Limited Futures Examination-Regulation	\$ 60
❑ Series 33 Financial Instruments Examination	\$ 60
❑ Series 63 Uniform Securities Agent State Law Examination	\$ 82
❑ Series 65 Uniform Investment Advisor Law Examination	\$120
❑ Series 66 Uniform Combined State Law Examination	\$110

D. The following Continuing Education computer based training programs will be approved and administered by NASD only when the required authorization is received directly from the respective State Administrator or self-regulatory organization identified under Item 3.

❑ Continuing Education Regulatory Element General Program (S101)	\$ 60
❑ Continuing Education Regulatory Element Series 6 Program (S106)	\$ 60
❑ Continuing Education Regulatory Element Supervisor Program (S201)	\$ 60